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11-30-01

PTO/SB/05 (03-01)

Approved for use through 10/31/2002 OMB 0651-0032  
Patent and Trademark Office U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 3302.2.1

First Inventor Laixin Wang

Title POLYCATIONIC WATER SOLUBLE COPOLYMER  
AND METHOD FOR TRANSFERRING  
POLYANIONIC MACROMOLECULES ACROSS  
BIOLOGICAL BARRIERS

Express Mail Label No. EV001613662US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

1. ☒ Fee Transmittal Form  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27
3. ☒ Specification [Total Pages 40]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross References to Related Application
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 1]
5. Oath or Declaration [Total Pages 2]
  - a. ☒ Newly executed (original or copy)
  - b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)
    - i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in prior application, see 37 CFR 1.63(d)(2)  
and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
applicable, all necessary
  - a. ☒ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☒ CD-ROM or CD-R (2 copies); or
    - ii. ☒ paper
  - c. ☒ Statement verifying identify of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS  
Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
if foreign priority is claimed
16. ☒ Nonpublication Request under 37 U.S.C.  
122(b)(2)(B)(i) Applicant must attach form  
PTO/SB/35 or its equivalent.
17. ☒ Other: Express Mail Certificate

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information.

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner: Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which a copy of the oath or declaration is  
supplied under Box 5b is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference.  
The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label



21552

or ☐ Correspondence address below

NAME

Craig Metcalf

ADDRESS

CITY

STATE

ZIP

COUNTRY

TELEPHONE

FAX

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the  
amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, D.C. 20231. DO NOT  
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**FEE TRANSMITTAL  
for FY 2002**

Patent fees are subject to annual revision

Complete If Known

Application Number

Filing Date

November 28, 2001

First Named Inventor

Laixin Wang

Group Art Unit

☒ Applicant claims small entity status See 37 CFR 1.27

Examiner Name

TOTAL AMOUNT OF PAYMENT

\$ 806.00

Attorney Docket Number

3302.2.1

METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit card ☐ Money Order ☐ Other ☐ None☒ Deposit AccountDeposit Account  
Number

13-0763

Deposit Account  
Name

MADSON &amp; METCALF

The Commissioner is authorized to (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments☒ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, **except for the filing fee**  
to the above-identified deposit account**FEE CALCULATION****1 BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	370
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1)

370

**2 EXTRA CLAIMS FEES FOR UTILITY AND REISSUE**

Extra Claims Fee from below

Fee Paid

Total Claims	64	-20** =	44	x	9	=	396
Ind. Claims	3	-3** =	0	x	42	=	0
Multiple Dep. Claims			0	x	140	=	0

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	84	202	42	Independent claims in excess of 3	
104	280	204	140	Multiple dependent claim	
109	84	209	42	**Reissue independent claims over original patent	
115	18	210	9	**Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2)

396

\*\*or number previously paid, if greater, For Reissues, see above

**3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2520	147	2520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1840*	113	1840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1440	218	720	Extension for reply within fourth month	
128	1960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1510	138	1510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1280	241	640	Petition to revive - unintentional	
142	1280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	40
146	740	246	370	Filing a submission after final rejection (37 CFR 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee

SUBTOTAL (3)

40

SUBMITTED BY

Complete (if applicable)

Typed or Printed Name

Craig Metcalf

Reg Number

31,398

Signature



Date

Nov 28, 2001

Deposit Account  
User ID

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on November 28, 2001.

  
Attorney for Applicant

PATENT

Docket No. 3302.2.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Laixin Wang )  
)  
Serial No.: (not yet assigned) )  
)  
Filed: November 28, 2001 )  
)  
For: POLYCATIONIC WATER SOLUBLE COPOLYMER AND )  
METHOD FOR TRANSFERRING POLYANIONIC )  
MACROMOLECULES ACROSS BIOLOGICAL )  
BARRIERS )

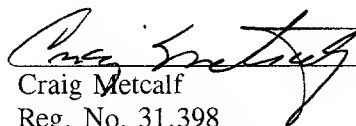
Statement Under 37 C.F.R. § 1.821

Assistant Commissioner  
for Patents  
Washington, D.C. 20231

Dear Sir:

This statement is submitted with regards to the sequence listing being filed herewith. The enclosed paper copy of the sequence listing is identical to the computer-readable form that is also enclosed.

Respectfully submitted,

  
Craig Metcalf  
Reg. No. 31,398  
Attorney for Applicant

Date: November 28, 2001

MADSON & METCALF  
Gateway Tower West  
15 West South Temple, Suite 900  
Salt Lake City, Utah 84101  
Telephone: 801/537-1700

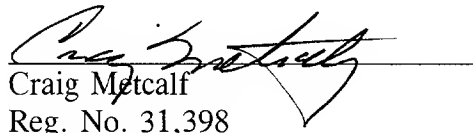
CERTIFICATE OF MAILING BY "EXPRESS MAIL"

"Express Mail" Mailing Label No.: EV001613662US

Date of Deposit: November 28, 2001

I hereby certify that this patent application in the name of Laixin Wang for POLYCATIONIC WATER SOLUBLE COPOLYMER AND METHOD FOR TRANSFERRING POLYANIONIC MACROMOLECULES ACROSS BIOLOGICAL BARRIERS, together with the drawings, a single signature Declaration, Power of Attorney, and Petition, an Assignment, and Credit card payment form for the amount of \$806.00 are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above in an envelope addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

Respectfully submitted,

  
Craig Metcalf  
Reg. No. 31,398  
Attorney for Applicant

Date: November 28, 2001

MADSON & METCALF  
Gateway Tower West  
15 West South Temple, Suite 900  
Salt Lake City, Utah 84101  
Telephone: 801/537-1700

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<b>REQUEST AND CERTIFICATION UNDER 35 U.S.C. 122(b)(2)(B)(i)</b>	First Named Inventor	Laixin Wang
	Title	POLYCATIONIC WATER SOLUBLE COPOLYMER AND METHOD FOR TRANSFERRING POLYANIONIC MACROMOLECULES ACROSS BIOLOGICAL BARRIERS
	Atty Docket Number	3302.2.1

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

November 28, 2001

Date

  
Signature

Craig Metcalf

Typed or printed name

This request must be signed in compliance with 37 CFR 1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this nonpublication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. 122(b), the application will be scheduled for publication at eighteen months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen months after filing, the applicant **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. 122(b)(2)(B)(iii)).**